



DEFENSE LOGISTICS AGENCY
HEADQUARTERS
8725 JOHN J. KINGMAN ROAD, SUITE 2533
FT. BELVOIR, VIRGINIA 22060-6221

IN REPLY DLSC-LDT
REFER TO

JUN 02 1999

MEMORANDUM FOR COMMANDER, DEFENSE CONTRACT MANAGEMENT
COMMAND
COMMANDER, DEFENSE LOGISTICS SUPPORT
COMMAND
DIRECTOR, DEFENSE AUTOMATED PRINTING AND
SUPPORT CENTER

SUBJECT: Authorizing Official (AO)/Certifying Officer (CO) and Entitlements Under the
Defense Travel System (DTS)

DLA will begin implementing the Defense Travel System (DTS) within Defense Travel Region 6 (DTR6) this summer. The implementation of DTS requires a radical mindset shift throughout DLA. DoD changed its travel philosophy: manage travel as mission support, treat the traveler and supervisor as responsible professionals and as honest customers, and align funding with the authority that directs the travel. DoD investigated and determined there were too many approval layers and complicated travel rules. As a result, the AO/CO (one position) was given travel order/travel claim approval authority and travel rules were simplified.

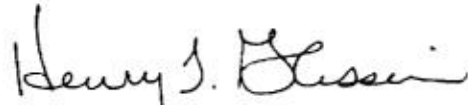
The first-line supervisor is the individual who controls the mission, authorizes the travel, and controls TDY travel funds. Therefore, he/she will be the AO/CO closest to the employee in both proximity and in knowledge of the employee's need to perform official travel. For this reason, the AO/CO is better able to determine if the claimed expenses are reasonable and necessary. The AO/CO will be pecuniarily liable for erroneous payments (see attachment 1, page 1, para 1, and page 3, para 2). Consequently, AO/CO must be officially appointed in writing.

Addressees will assign AO/COs for DTR6 sites in accordance with DoD policy and provide names, locations, and office symbols to DLSC-LDT within 60 days of receipt of this letter. Appointment authority may be delegated. DTR6 encompasses the following states: IL, MI, ND, SD, NE, IA, MO, IN, KY, MN, and WI. This headquarters will request identification of AO/COs for the remaining travel regions at a later date.

The new DTS entitlements are understandable and are easy to read. Those travelers coming under DTS will be required to use the new entitlements in the Joint Travel Regulation (civilian) and the Joint Federal Travel Regulation (military), Appendix 0 (see attachment 2).

Under the new entitlements, all travel arrangements must be executed through the DTS, as travelers are not authorized to call airlines, hotels, or car rental agencies directly except under emergency conditions.

These are exciting, dynamic times for DLA, and I look forward to your support as we implement DTS as DoD envisioned. The improvements to our travel procedures/rules will ensure we meet the DLA mission and save critical DLA travel funds. Questions may be referred to our DTS Program Manager, Mrs. Deborah L. Beckner (DLSC-LDT), at Commercial (703) 767-3622 or DSN 427-3622, e-mail: deborah_beckner@hq.dla.mil. Financial concerns may be addressed to Mr. John Guardiani at Commercial (703) 767-7212 or DSN 427-7212.

A handwritten signature in black ink, reading "Henry T. Glisson". The signature is fluid and cursive, with the first name "Henry" and last name "Glisson" clearly distinguishable.

HENRY T. GLISSON
Lieutenant General, USA
Director



UNDER SECRETARY OF DEFENSE
1100 DEFENSE PENTAGON
WASHINGTON, DC 20301-1100

NOV 24 1998



MEMORANDUM FOR SECRETARIES OF THE MILITARY DEPARTMENTS
CHAIRMAN OF THE JOINT CHIEFS OF STAFF
UNDER SECRETARIES OF DEFENSE
DIRECTOR, DEFENSE RESEARCH AND ENGINEERING
ASSISTANT SECRETARIES OF DEFENSE
GENERAL COUNSEL OF THE DEPARTMENT OF DEFENSE
INSPECTOR GENERAL OF THE DEPARTMENT OF DEFENSE
DIRECTOR, OPERATIONAL TEST AND EVALUATION
ASSISTANTS TO THE SECRETARY OF DEFENSE
DIRECTOR, ADMINISTRATION AND MANAGEMENT
DIRECTORS OF THE DEFENSE AGENCIES
DIRECTORS OF THE DOD FIELD ACTIVITIES

SUBJECT: Accountable Officials and Certifying Officers for Temporary Duty Travel Claim
Substantiation

On July 8, 1998, the Deputy Secretary of Defense issued the Department of Defense (DoD) Directive 7000.15, "DoD Accountable Officials and Certifying Officers," which assigned pecuniary liability to accountable officials and certifying officers. Subsequent to the issuance of DoD Directive 7000.15, Chapter 33, "Accountable Officials and Certifying Officers," of Volume 5 of the DoD Financial Management Regulation, ("DoDFMR") (DoD 7000.1 4—R) was published outlining the general policies for accountable officials and certifying officers relative to specific forms of official payments.

Attached to this memorandum is interim guidance to implement policies for travel payments. This DoD policy guidance will be incorporated *into* Volume 9, "Travel Policy and Procedures," of the "DoDFMR."

This guidance is effective immediately and is applicable to the Office of the Secretary of Defense; the Military Departments; the Chairman of the Joint Chiefs of Staff and the Joint Staff; the Combatant Commands; the Inspector General of the DoD; the Defense Agencies; and the DoD Field Activities (hereafter referred to collectively as "DoD Components"). The Heads of the DoD Components shall ensure that this guidance is adhered to in day-to-day operations and in the design, modification, and maintenance of the Component's financial management and reporting systems(s).

Attachments

attachment
FC-M-0413
4-1-10

Mr. Ancel Hendrix is my staff point of contact for this matter. He may be reached by e-mail: hendrixa@osd.pentagon.mil or by telephone at (703) 602-0391 (DSN 332-0391).

Attachment

A handwritten signature in black ink, appearing to read 'Alice C. Maroni', with a large, stylized loop at the end.

Alice C. Maroni
Principal Deputy Under Secretary
of Defense (Comptroller)

Attachments

DEPARTMENT OF DEFENSE
POLICY ON ACCOUNTABLE OFFICIALS AND CERTIFYING OFFICERS
FOR TEMPORARY DUTY TRAVEL CLAIM SUBSTANTIATION

A. INTRODUCTION

1. This policy is consistent with DoD Directive 7000.15, "DoD Accountable Officials and Certifying Officers," and Chapter 33, "Accountable Officials and Certifying Officers," Volume 5 of the DoD Financial Management Regulation ("DoDFMR") (DoD 7000.14-R). The policy for substantiation of temporary duty claims also is consistent with guidelines prescribed by the Internal Revenue Service. These policies will be incorporated into Volume 9, "Travel Policies and Procedures," of the "DoDFMR."

2. It is the policy of the Department of Defense, in accordance with Title 31, United States Code, sections 3325 and 3528, to appoint disbursing and certifying officers who are pecuniarily liable for erroneous payments. Further, it is the Department's policy that other officials involved in authorizing payments are accountable, and that these accountable officials shall be pecuniary liable for erroneous payments resulting from the negligent performance of their responsibilities.

3. Responsibilities; minimum required qualifications; the selection, appointment and designation process; certification; and the pecuniary liability of accountable and certifying officials are governed by provisions of Volume 5, Chapter 33 of the "DoDFMR." Unique responsibilities and duties relating to temporary duty travel are described below.

4. This policy is divided into two sections. The first section covers responsibilities for the DoD Components. The second section identifies specific duties for the key roles in the current travel process used within the Department today and under the Defense Travel System (DTS). Once an organization transitions to the new system, it automatically will be covered by the DTS policies.

B. GENERAL RESPONSIBILITIES

1. The Under Secretary of Defense (Comptroller) shall develop, administer, maintain and monitor compliance with the financial management policies of temporary duty travel.

2. The Heads of DoD Components shall implement, ensure compliance with, and recommend changes to financial management policies for the temporary duty travel program.

3. The Director, Defense Finance and Accounting Service (DFAS) shall develop implementing procedures and appropriate changes to Volume 9, "Travel Policies and Procedures," of the "DoDFMR."

C. SPECIFIC DUTIES

1. Claims Under Traditional Travel Management Process (Non-DTS)

a. Accountable Officials involved in the travel management process are located at various control points within an organization. Volume 5, Chapter 33 of the "DoDFMR" identifies the general responsibilities of Accountable Officials. The following positions shall be designated in writing as Accountable Officials in the management of the TDY travel process as prescribed by paragraph 3305, Chapter 33, of that volume:

- (1) Agency Program Coordinators responsible for the implementation and execution of the travel card program;
- (2) Authorizing Officials (AO) responsible for authorizing travel;
- (3) Resource Managers/Fund Holders responsible for proper assignment of funding, maintenance of funds controls, and certifying funds availability;
- (4) Automated Information System (AIS) Administrators responsible for operating and maintaining the system used to support travel management, including entitlement, certifying, and disbursing processing.

b. Approving Officials are individuals in the chain of command that have been designated specifically in writing to approve TDY travel orders, and approve travel claims.

c. Authorizing Officials are individuals in an organization responsible for reviewing the line of accounting and assigning a travel order control number to the travel request.

d. Certifying Officers shall certify claims in accordance with the criteria outlined in Section 3306 of Chapter 33, Volume 5 of the "DoDFMR," and forward certified claims to the paying office. Certifying Officials are individuals in an organization, who have been authorized specifically in writing to certify claims for payment. A sample appointment letter and signature card are provided at Attachments 1 and 3.

- (1) Certifying Officers, in accordance with paragraph 330505 of Chapter 33, Volume 5 of the "DoDFMR," must appoint Accountable Officials in writing advising them of their pecuniary liability for erroneous payments that result from the negligent performance of their duties as described in 31 U.S.C. 3528. An appointment letter and signature card shall be used to accomplish the appointment. Samples of the appointment letter and signature card are provided at Attachments 2 and 3. Group appointments may be used to designate the Accountable Officials in an organization. Each Accountable Official shall acknowledge their appointment as an Accountable Official.

(2) The Certifying Officer is responsible for certifying the reasonableness and validity of the travel claim. To determine properly the reasonableness and validity of a claim, the Certifying Officer must: (a) compare the estimate for the traveler's actual post-trip expense claim to the pretrip estimate of expenses; and (b) review lodging receipts and receipts for individual expenses of \$75 or more if, in the Certifying Officer's judgment, a review of receipts is necessary. Section 3306 of Volume 5, Chapter 33 of the "DoDFMR" defines the certification process and the safeguards that a Certifying Officer must follow.

e. Travelers shall sign their travel claims and forward receipts as documentation for all lodging, regardless of the amount, and for claimed individual expenses of \$75 or more to the servicing finance office for retention for a period of 6 years and 3 months. Travelers are liable, under the False Claims Act (18 U.S.C. 287 and 1001, and 31 U.S.C. 3729), should they submit false, fictitious, or fraudulent claims. Travelers in organizations that operate as pilot Sites and have not fully transitioned to the DTS shall retain their receipts for a period of 6 years and 3 months and are authorized to fax copies of their receipts in lieu of providing an original document.

f. Reviewing Officials shall conduct pre- and post-payment reviews of travel payments certified by certifying officers.

2. Claims Under Defense Travel System

a. Accountable Officials involved in the travel management process are located at various control points within an organization. Chapter 33, Volume 5, of the "DoDFMR" identifies the general responsibilities of Accountable Officials. The following positions shall be designated in writing by the Certifying Officers as Accountable Officials in the management of travel process under DTS as prescribed by section 3305, Chapter 33, Volume 5 of the "DoDFMR:"

(1) Agency Program Coordinators are responsible for the implementation and execution of the travel card program.

(2) Authorizing Officials are responsible for authorizing travel and/or approving travel claims. An AO determines the necessity of a trip, funds availability, and assignment of the proper Line of accounting prior to authorization. The AO also reviews travel claims for validity after completion of travel.

(3) Defense Travel Administrators (DTA) are responsible for managing travel at an organizational level. A DTA may serve as an MS Administrator responsible for operating and maintaining the system used to support travel management process or as a resource manager/fund holder responsible for

(a) Distributing funds to the appropriate DTS checkbooks,

(b) Ensuring that lines of accounting are properly established in DTS checkbooks in a manner that is understandable to the AO,

(c) Properly distributing funds and/or establishing lines of accounting in order to prevent a potential violation of the Antideficiency Act for which the funds control officer may be held accountable if fund distribution is not properly completed, and

(d) Certifying funds availability.

b. Authorizing Officials shall authorize travel in accordance with the criteria outlined in Volume 5, Chapter 33, "DoDFMR," as follows:

(1) AOs must review and authorize trip requests, "should cost" estimates, and the travel arrangements submitted by travelers for whom the AO has authorization. The AO will rely on the edit and policy checks built into DTS in the review and approval of travel arrangements. Trip requests, "should cost" estimates, and travel arrangements will be reviewed for consistency with DoD temporary duty travel policy, the Joint Travel Regulations or the Joint Federal Travel Regulations, and mission requirements.

(2) AOs cannot authorize trip requests when the "should cost" estimate exceeds the amount of funds available in the AO's checkbook. In such cases, the AO must contact the appropriate funds control officer for further guidance.

(3) The AO must ensure that the correct line of accounting is applied to each trip request.

(4) The AO's authorization of the trip request and arrangements will be authenticated by the AO's digital signature. In addition to authorizing travel and establishing the traveler's entitlements, AO authorization also establishes an obligation for future payment of travel expenses.

(5) All items that the DTS identifies as policy exceptions must be reviewed by the AO on an individual basis. AOs must exercise discretion consistent with mission requirements, the Joint Travel Regulation or the Joint Federal Travel Regulation, as applicable, in approving or denying items that are identified by DTS as exceptions to policy.

c. Certifying Officers shall certify claims in accordance with the criteria outlined in section 3306 of Chapter 33 Volume 5 of the "DoDFMR," and forward certified claims to the paying office. Certifying Officials are individuals in an organization, who have been authorized specifically in writing to certify claims for payment. A sample appointment letter and signature card are provided at Attachments 1 and 3.

(1) Certifying Officers, in accordance with paragraph 330505 of Chapter 33, Volume 5 of the "DoDFMR," must appoint Accountable Officials in writing advising them of their pecuniary liability for erroneous payments that result from the negligent performance of their duties as described in 31 U.S.C. 3528. An appointment letter and signature card shall be used to accomplish the appointment. Samples of the appointment letter and signature card are provided at Attachments 2 and 3. Group appointments may be used to designate the Accountable Officials in an organization. Each Accountable Official shall acknowledge their appointment as an Accountable Official.

(2) The Certifying Officer is responsible for certifying the reasonableness and validity of the travel claim. To properly determine the reasonableness and validity of a claim the Certifying Officer must (a) compare the pretrip "should cost" estimate for each item claimed with the traveler's actual post-trip expense claim; and (b) review lodging receipts and receipts for individual expenses of \$75 or more if, in the Certifying Officer's judgment, a review of receipts is necessary. Section 3306 of Volume 5, Chapter 33 of the "DoDFMR" defines the certification process and the safeguards that a Certifying Officer must follow.

(3) At any time during the certification process, the Certifying Officer may require the traveler to provide receipts required by simplified entitlements as further substantiation of expense claims.

(4) If the amount of the certified claim exceeds the amount of funds available in the AO's checkbook, additional funding must be obtained from the appropriate funds control officer prior to certification.

d. Travelers shall sign their travel claims and forward the claims to their AO for approval. Travelers must retain all lodging receipts and claimed individual expenses of \$75 or more in order to support their claim for 6 years and 3 months, and, upon request, must provide a copy of those receipts to the Reviewing Official or a DoD official conducting a random review. If receipts are not available, a written statement by the travelers may be provided to the reviewing office. Travelers are liable, under the False Claims Act (18 U.S.C. 287 and 1001, and 31 U.S.C. 3729), should they submit false, fictitious, or fraudulent claims.

e. Reviewing Officials shall conduct post- payment reviews of payments certified by the Certifying Officer and paid by the Disbursing Officer. The Reviewing Officials are specific individuals in the financial organization responsible for payment that have been authorized in writing to perform post-payment reviews.

SAMPLE

(USE APPROPRIATE LEUERHEAD)

MEMORANDUM FOR (Insert Certifying Officer's Name)

SUBJECT: Appointment as Travel Program Certifying Official

You presently occupy a position wherein your duties include the functions of a travel program certifying officer for travel program vouchers. This memorandum is formal notification that you hereby are appointed as a travel program certifying officer to (Note: Insert location and address of disbursing officer to whom certification will be made).

As a travel program certifying officer, you will be responsible for certifying payment vouchers and documents for the Government travel program. You must become thoroughly familiar with your responsibilities and accountability. By signature below, you acknowledge this appointment and affirm that you have read Title 31, United States Code, sections 3325 and 3528, DoD Directive 7000.15, and Volume 5, Chapter 33 of the DoD Financial Management Regulation and understand your responsibilities and accountability as described therein. In addition, you must complete DD Form 577 (Signature Card) for each disbursing office identified above. After completion, a signed copy of this appointment and the completed DD Form 577 must be returned to me for approval. For all documents that you certify under this appointment, your signature must be in the form indicated by you in block 5 of the DD Form 577.

(Commander's Signature)

ACKNOWLEDGEMENT

By signature hereon, I acknowledge my appointment as a certifying officer. I have read and understand my responsibilities and accountability. I understand my right to request relief of liability for any payment I certify that is determined to be illegal, improper, or incorrect. I further understand that this appointment will remain in effect until revoked in writing by you or your successor.

Attached for your approval is the completed DD Form(s) 577 (Signature Card).

(Certifying Officer's Signature)

Attachment 1

SAMPLE

(USE APPROPRIATE LETTERHEAD)

MEMORANDUM FOR (Insert Certifying Officer's Name)

SUBJECT: Appointment as Travel Program Certifying Official

You presently occupy a position wherein your duties include the functions of a travel program certifying officer for travel program vouchers. This memorandum is formal notification that you hereby are appointed as a travel program certifying officer to (Note: Insert location and address of disbursing officer(s) to whom certification will be made).

As a travel program certifying officer, you will be responsible for certifying payment vouchers and documents for the Government travel program. You must become thoroughly familiar with your responsibilities and accountability. By signature below, you acknowledge this appointment and affirm that you have read and understand your responsibilities and accountability as described in Title 31, United States Code, sections 3325 and 3528, DoD Directive 7000.15, and Volume 5, Chapter 33 of the DoD Financial Management Regulation. In addition, you must complete DD Form 577 (Signature Card) for each disbursing office identified above. After completion, a signed copy of this appointment and the completed DD Form 577 must be returned to me for approval. For all documents that you certify under this appointment, your signature must be in the form indicated by you in block 5 of the DD Form 577.

(Commander's Signature)

ACKNOWLEDGEMENT

By signature hereon, I acknowledge my appointment as a certifying officer. I have read and understand my responsibilities and accountability. I understand my right to request relief of liability for any payment I certify that is determined to be illegal, improper, or incorrect. I further understand that this appointment will remain in effect until revoked in writing by you or your successor.

Attached for your approval is the completed DD Form(s) 577 (Signature Card).

(Certifying Officer's Signature)

Attachment I

SAMPLE

(USE APPROPRIATE LETTERHEAD)

MEMORANDUM FOR (Insert Accountable Official's Name)

SUBJECT: Appointment as Travel Program Accountable Official

You presently occupy a position wherein your duties include the functions of a travel program accountable official for (Note: insert specific travel program area, e.g., authorizing official, automated information system administrator). This memorandum is formal notification that you hereby are appointed as a travel program accountable official to (Note: Insert location and address of certifying officer(s) to whom certification will be made).

As a travel program accountable official, you will be responsible for (note: indicate appropriate responsibility). You must become thoroughly familiar with your responsibilities and accountability. By signature below, you acknowledge this appointment and affirm that you have read DoD Directive 7000.15 and Volume 5, Chapter 33 of the DoD Financial Management Regulation and understand your responsibilities and accountability as described therein. In addition, you must complete DD Form 577 (Signature Card) for each accountable official identified above. After completion, a signed copy of this appointment and the completed DD Form 577 must be returned to me for approval. For all documents that you are accountable official, your signature must be in the form indicated by you in block 5 of the DD Form 577.

(Certifying Officer's Signature)

ACKNOWLEDGEMENT

By signature hereon, I acknowledge my appointment as an accountable official. I have read and understand my responsibilities and accountability. I understand my right to request relief of liability for any payment I certify that is determined to be illegal, improper, or incorrect I further understand that this appointment will remain in effect until revoked in writing by you or your successor.

Attached for you approval is the completed DD Form(s) 577 (Signature Card).

(Accountable Official's Signature)

Attachment 2

SAMPLE

1. NAME (Type or print)	2. PAY GRADE	3. DATE
4. OFFICIAL ADDRESS		
5. SIGNATURE		
6. TYPE OF DOCUMENT OR PURPOSE FOR WHICH AUTHORIZED		
THE ABOVE IS THE SIGNATURE OF THE AUTHORIZED INDIVIDUAL		
7. NAME AND GRADE OF COMMANDING OFFICER (Type or print)		8. PAY GRADE
9. SIGNATURE OF COMMANDING OFFICER		

DD Form 577, MAY 58

Previous edition may
be used until exhausted

SIGNATURE CARD

Attachment 3